

FORM PTO-1390  
(REV 10-94)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

10873.1603USWO

U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5)

Unknown

10/519817

INTERNATIONAL APPLICATION NO.

PCT/JP2003/008639

INTERNATIONAL FILING DATE

July 8, 2003

PRIORITY DATE CLAIMED

July 8, 2002

TITLE OF INVENTION

PHOTONIC CRYSTAL OPTICAL WAVEGUIDE

APPLICANT(S) FOR DO/EO/US


KITAKA et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(I).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☒ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An unsigned oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

## Items 11. to 16. below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A FIRST preliminary amendment.  
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information: Application Data Sheet (5 pages), International Publication Page, Form PCT/ISA/210, Form PCT/IB/304, Form PCT/IB/308

U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5)		INTERNATIONAL APPLICATION NO.		ATTORNEY'S DOCKET NUMBER	
Unknown <b>10/519817</b>		PCT/JP2003/008639		10873.1603USWO	
<b>BASIC NATIONAL FEE (37 CFR 1.492(a) (1)-(5)):</b>					
[X] a) Basic National fee.....				\$300.00	\$300.00
[X] b) Examination fee.....				\$200.00	\$200.00
[X] c) Search fee.....				\$500.00	\$500.00
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$1000.00	
Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.					
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole number)		Rate	
48	-100 =	/50 =		X \$250.00	\$0
Surcharge of \$130.00 for furnishing the oath or declaration later than [ ] 20 [ ] 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$0	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	19	-20 = 0	X \$50.00 \$0		
Independent claims	1	-3 = 0	X \$200.00 \$0		
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$360.00 \$0		
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$1000.00	
Reduction by 1/2 for filing by small entity, if applicable. Small entity status is claimed pursuant to 37 CFR 1.27				\$0	
<b>SUBTOTAL =</b>				\$1000.00	
Processing fee of \$130.00 for furnishing the English translation later than [ ] 20 [ ] 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				+	\$0
<b>TOTAL NATIONAL FEE =</b>				\$1000.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				+	\$0
<b>TOTAL FEES ENCLOSED =</b>				\$1000.00	
				Amount to be: refunded	\$0
				charged	\$0
<p>a. [X] Check(s) in the amount of \$1000.00 to cover the above fees is enclosed.</p> <p>b. [ ] Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.</p> <p>c. [X] The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>13-2725</u>.</p>					
<p><b>NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</b></p>					
<p>SEND ALL CORRESPONDENCE TO:</p> <p>Douglas P. Mueller</p> <p>MERCHANT &amp; GOULD</p> <p>P.O. Box 2903</p> <p>Minneapolis, MN 55402-0903</p>			<p>SIGNATURE: </p> <p>NAME: Douglas P. Mueller</p> <p>REGISTRATION NUMBER: 30,300</p>		

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

DT12 Rec'd PCT/PTO 29 DEC 2004

Applicant: KITTAKA et al.  
 Docket: 10873.1603USWO  
 Title: PHOTONIC CRYSTAL OPTICAL WAVEGUIDE

## CERTIFICATE UNDER 37 CFR 1.10

'Express Mail' mailing label number: EV 495870147 US

Date of Deposit: December 29, 2004

I hereby certify that this paper or fee is being deposited with the United States Postal Service 'Express Mail Post Office To Addressee' service under 37 CFR 1.10 and is addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

By: 

Name: John W. Perkins

Mail Stop PCT  
 Commissioner for Patents  
 P.O. Box 1450  
 Alexandria, VA 22313-1450

Sir:

We are transmitting herewith the attached:

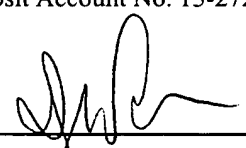
- ☒ Transmittal sheet, in duplicate, containing Certificate under 37 CFR 1.10.
- ☒ National Stage PCT Patent Application: Spec. 30 pgs; 19 claims; Abstract 1 pgs.  
The fee has been calculated as shown below in the 'Claims as Filed' table.
- ☒ 18 sheets of formal drawings
- ☒ An unsigned Combined Declaration and Power of Attorney
- ☒ A check in the amount of \$1000.00 to cover the Filing Fee
- ☒ Application Data Sheet, 5 pages.
- ☒ Other: Form PTO-1390, Preliminary Amendment (3 pages), International Publication Page, Form PCT/ISA/210, Form PCT/IB/304, Form PCT/IB/308
- ☒ Return postcard

## CLAIMS AS FILED

Number of Claims Filed	No.	In Excess of	Extra	Rate	Fee
Total Claims	19	20	0	50.00	0.00
Independent Claims	1	3	0	200.00	0.00
Multiple Dependent Claims Fee					0.00
Basic Filing Fee					300.00
Search Fee					200.00
Examination Fee					500.00
Utility Application Size Fee	48	100	0	250.00	0.00
Total					1000.00

Please charge any additional fees or credit overpayment to Deposit Account No. 13-2725. A duplicate of this sheet is enclosed.

MERCHANT & GOULD P.C.  
 P.O. Box 2903, Minneapolis, MN 55402-0903  
 (612) 332-5300

By:   
 Name: Douglas P. Mueller  
 Reg. No.: 30,300  
 Initials: DPM/sbd

23552

PATENT TRADEMARK OFFICE

10/519817

12 Rec'd PCT/PTO 29 DEC 2004

---

**DOCKET NOTIFICATION SLIP**

---

**TO: PATENT DOCKETING**

Applicant: KITTAKA et al.  
Title: PHOTONIC CRYSTAL OPTICAL WAVEGUIDE  
Docket: 10873.1603USWO

Express Mail No.: EV 495870147 US  
Date of Deposit: December 29, 2004

- ☒ Transmittal sheet, in duplicate, containing Certificate under 37 CFR 1.10.
- ☒ National Stage PCT Patent Application: Spec. 30 pgs; 19 claims; Abstract 1 pgs.
- ☒ 18 sheets of formal drawings
- ☒ An unsigned Combined Declaration and Power of Attorney
- ☒ A check in the amount of \$1000.00 to cover the Filing Fee
- ☒ Application Data Sheet, 5 pages.
- ☒ Other: Form PTO-1390, Preliminary Amendment (3 pages), International Publication Page, Form PCT/ISA/210, Form PCT/IB/304, Form PCT/IB/308
- ☒ Return postcard

DPM/sbd NO FF